

FORM PTO-1390 (Modified)  
(REV 11-98)

U.S. DEPT.

OF COMMERCE PATENT AND TRADEMARK OFFICE

JAN 29 Rec'd PCT/PTO 01 MAR 2001  
ATTORNEY'S DOCKET NUMBERTRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

13929/122995

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/786189

INTERNATIONAL APPLICATION NO.  
PCT/EP99/06390INTERNATIONAL FILING DATE  
August 31, 1999PRIORITY DATE CLAIMED  
September 1, 1998

TITLE OF INVENTION

BIODEGRADABLE COMPOSITIONS COMPRISING STARCH AND POLYSACCHARIDE ESTERS

APPLICANT(S) FOR DO/EO/US

Catia Bastioli, Roberto Lombi, Matteo Nicolini, Maurizio Tosin and Francesco Degli Innocenti

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☒ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409). **(Unexecuted)**
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

- 1) Transmittal letter;
- 2) One check totalling \$495.00 to cover the filing fee for patent appln.
- 3) Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (Form PCT/IB/308 (July 1996));
- 4) Information Concerning Elected Offices Notified of Their Election (Form PCT/IB/332 (September 1997));
- 5) Notification of Transmittal Of the International Preliminary Examination Report (Form PCT/IPEA416 (July 1992));
- 6) Notification of Transmittal of the International Search Report (Form PCT/ISA/220 (July 1996)); and
- 7) Return postcard

21) Applicants claim small entity status under 37 CFR Section 1.9 and 37 CFR Section 1.27.

U.S. APPLICATION NO. (IF KNOWN, 37 CFR) <b>09/786189</b>	INTERNATIONAL APPLICATION NO. <b>PCT/EP99/06390</b>	ATTORNEY'S DOCKET NUMBER <b>13929/122995</b>
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21. The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :**

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... **\$1,000.00**
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... **\$860.00**
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$710.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$690.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	17 - 20 =	0	x \$18.00		<b>\$0.00</b>
Independent claims	3 - 3 =	0	x \$80.00		<b>\$0.00</b>
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					<b>\$0.00</b>
<b>TOTAL OF ABOVE CALCULATIONS =</b>					<b>\$990.00</b>
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable) <input checked="" type="checkbox"/>					<b>\$495.00</b>
<b>SUBTOTAL =</b>					<b>\$495.00</b>
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				+	<b>\$0.00</b>
<b>TOTAL NATIONAL FEE =</b>					<b>\$495.00</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable) <input type="checkbox"/>					<b>\$0.00</b>
<b>TOTAL FEES ENCLOSED =</b>					<b>\$495.00</b>
				Amount to be: refunded	\$
				charged	\$

- ☒ A check in the amount of **\$495.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **02-4467** A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Maurice B. Stiefel, Esq.  
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245 Park Avenue  
New York, NY 10167  
Tel. No. (212) 692-1838  
Fax No. (212) 692-1900

*Maurice B. Stiefel*  
SIGNATURE

Maurice B. Stiefel

NAME

18,479

REGISTRATION NUMBER

March 1, 2001

DATE

JO Rec'd PCT/PTO 01 MAR 2001

09/786189

Docket No.: 13929/122995

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re National Application of : )  
Catia Bastioli, Roberto Lombi, Matteo Nicolini, )  
Maurizio Tosin and Francesco Degli Innocenti )  
International Appln. No. PCT/EP99/06390 )  
International Filing Dated: 31 August 1999 )

Filed Concurrently Herewith On March 1, 2001

For: **BIODEGRADABLE COMPOSITIONS  
COMPRISING STARCH  
AND POLYSACCHARIDE ESTERS**

CERTIFICATE OF EXPRESS MAILING

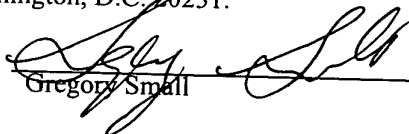
"Express Mail" Mailing Label No.: EL715972942US

Date of Deposit: March 1, 2001

I hereby certify that the following:

- [x] This Certificate of Express Mailing
- [x] Transmittal Letter (Form PTO-1390) in duplicate (2 pp.)
- [x] Published International Application (17 pp.)
- [x] Unexecuted Declaration and Power of Attorney (Form PTO/SB/01) (5 pp.)
- [x] International Search Report (3 pp.)
- [x] Preliminary Amendment (3 pp.)
- [x] Check in the amount of \$495.00 to cover filing fee
- [x] PCT Request (4 pp.)
- [x] PCT Demand (4 pp.)
- [x] Notice Informing The Applicant Of The Communication Of The International Application To The Designated Offices (Form PCT/IB/308) (2 pp.)
- [x] Information Concerning Elected Offices Notified Of Their Election (1 p.)
- [x] Notification of Transmittal of the International Preliminary Examination Report (Form PCT/IPEA/4169) (22 pp.)
- [x] Notification of Transmittal of the International Search Report or Declaration (Form PCT/ISA/220) (7 pp.)
- [x] Information Disclosure Statement (2 pp.)
- [x] PTO-1449 Form to Information Disclosure Statement including references
- [x] Return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR Section 1.10 on the Date of Deposit indicated above in an envelope addressed to the Commissioner for Patents, Box PCT, Washington, D.C. 20231.

  
Gregory Small

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245 Park Avenue  
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